

1 Supporting Statement

LIST SAMPLING FRAME SURVEY

OMB No. 0535-0140

This docket is being submitted for an extension of 3 years.

Included in the attachments are four sample questionnaires that NASS will be using. The *National Agricultural Classification Survey (NACS)* is used to identify new operators that need to be added to our List Frame. If anyone who completes this questionnaire identifies that they produce specialty crops they may receive a follow up interview, the *List Sampling Farm Criteria (LSFC)*. We have included the Master Listing of the items that could appear in this questionnaire. The questionnaires will be customized to contain only the crops that are of interest for any particular State. This will keep the questionnaires as short as possible and to minimize respondent burden as much as possible. This master questionnaire version should help reduce the review and approval process for this docket. The *Criteria for Horticultural Specialties (CHS)* will be used for operations that indicate that they produce certain horticultural crops. This will help to improve the sampling for future floriculture or nursery type surveys. The two step survey process was developed to help reduce respondent burden. Since most US farmers do not produce specialty crops, we removed these commodities from the NACS and limited them to the LSFC and the CHS questionnaires.

The *Out of Business Screener (OBS)* will be used in conjunction with other surveys conducted by NASS throughout the year. When a respondent says that they are no longer farming, the NASS enumerator will be prompted to ask these questions to better document the changes in the operators status. If the respondent is no longer a full time farmer, but still has some agriculture activities (hobby or personal use) we will need to determine if they qualify as a point farm (produce or have the potential to produce \$1,000 or more in agricultural products). This follow up survey will only be conducted with telephone interviews.

A. JUSTIFICATION

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

The primary objective of the National Agricultural Statistics Service (NASS) is to provide data users with timely and reliable agricultural production and economic statistics, as well as environmental and specialty agricultural related statistics. To accomplish this objective, NASS relies heavily on the use of sample surveys statistically drawn from the "List Sampling Frame." The List Sampling Frame is a database of names and addresses with control data that contains the component values from which these samples can be drawn.

A broad, yet current, representation of all components of the agricultural sector (small and large farms as well as agribusinesses and specialty farms) is essential in providing accurate statistics for these acreage, production, economic, and environmental surveys. Representation of both small and large farms is also needed to ensure reliable indications for county estimates and to provide a foundation for the Census of Agriculture.

In 1976, Congress appropriated funds for NASS to construct and maintain a List Sampling Frame. A List Sampling Frame system has been developed that includes computer record linkage, automated duplication removal, frame classification, sample selection, mailing, and maintenance. The system is currently operational in all States. Details of our List Frame data can be found in our Systems of Records Notice (SORN) published in the Federal Register.

General authority for these data collection activities is granted under U.S. Code Title 7, Section 2204 which specifies that "The Secretary of Agriculture shall procure and preserve all information concerning agriculture which he can obtain . . . by the collection of statistics . . ."

2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

New names and addresses of potential farms or ranches are obtained on a regular basis from growers associations, other government agencies and various outside sources. Information from these new list sources are processed through, and reviewed through a record linkage system at NASS to eliminate any potential duplication and to obtain a listing of new potential farm records. The "new add" records are then contacted with the NACS which will later be used to classify the records according to specific data (size of operation, total acres operated, crop acres, types of livestock, etc.). This information is utilized to define population counts for the various types of farms or ranches (hogs, cattle, equine, crops, specialty agriculture, etc.). Then this information will be used to create both probability and non-probability samples for the numerous surveys conducted by NASS.

All types of farms and ranches are represented on the NASS List Sampling Frame. In order to be able to create efficient samples with desired precision of estimation, control data must be kept current and complete. This is especially true for specialty commodities such as fruits and vegetables. Operators who identified themselves as a producer of certain specialty items will receive either the LSFC or the CHS as a follow up specialty criteria survey, which will ask specific items of interest for each respective State.

Records with old or missing control data can also be included in the NACS to keep control data current. Old or missing control data can lead to incorrect inclusion in or exclusion from samples and to inefficient stratification. Also, another important function of up to date quality control data are for non-response weighting during the Census or Survey process.

- 3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

The NACS and CHS questionnaires will be available on the internet. The smaller State specific LSFC surveys will be paper only. The State specific surveys are used in several States that have a higher turnover rate of farm operators than the rest of the country. This allows the States to collect data from new operators as they are discovered rather than waiting for the annual, national surveys.

The majority of the data is collected using self-administered questionnaires, i.e., questionnaires sent to the respondent by mail along with internet instructions if available. If the respondent does not respond by either the internet or the paper form, we will attempt to collect the data by telephone.

All versions of the questionnaires (internet, paper and Computer Assisted Telephone Interview (CATI)) use skip patterns that move the respondents through the questionnaire as quickly as possible. Since the Census of Agriculture is being conducted in 2013 referencing the year of 2012, we will not be doing any list building in 2013, since it would be duplicating the work conducted by the Census.

- 4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

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outside sources. Information from these new list sources are processed through, and reviewed through a record linkage system at NASS to eliminate any potential duplication and to obtain a listing of new potential farm records.

The National Agricultural Statistics Service cooperates with State departments of agriculture, land grant universities, and other State and Federal agencies to conduct agricultural surveys. Surveys meet both State and Federal needs, thus eliminating duplication and minimizing reporting burden on the agricultural industry.

With numerous people entering and leaving the farming industry each year it is crucial that NASS maintains a current list of farm operators to sample from. On each of our surveys that employ a stratified sample, NASS must have an accurate and up to date listing of farmers in order to calculate an accurate expansion or weighting of data to compensate for non-respondents.

5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-1), describe any methods used to minimize burden.

In 1975, the USDA, the Office of Management and Budget (OMB), and the U.S. Department of Commerce's U.S. Census Bureau agreed on a definition of a farm that is still in use today. "A farm is currently defined, for statistical purposes, as any place from which \$1,000 or more of agricultural goods (crops or livestock) were sold or normally would have been sold during the year under consideration" (Glossary, 2005). USDA's National Agricultural Statistics Service (NASS) also includes government payments as sales. In other words, a farm is defined as any place with any combination of sales, potential sales, and government payments totaling at least \$1,000. The USDA National Commission on Small Farms describes small farms as farms with less than \$250,000 gross receipts annually on which day-to-day labor and management are provided by the farmer and/or the farm family that owns the production or owns, or leases, the productive assets. According to the 2007 Census of Agriculture, there were 1,995,133 small farms in the US, or 91 percent of all farms.

Most of the respondents to the NACS or LSFC are relatively small agricultural establishments. Burden is minimized by using the shorter NACS to collect information for most new, potential agricultural establishments. Only information needed to classify an establishment for the basic survey and census of agriculture purposes are collected. Occasionally, if the establishment reports production of specialty commodities or is relatively large in size the longer LSFC or CHS may be used for further follow-up. Although in general, the longer LSFC or CHS is used for names from specialty commodity list sources which require more specific data.

- 6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Generally, the better the relationship between the data used for sample design and the survey data collected, the smaller the sample size necessary to produce reliable estimates. For efficient samples with desired precision of estimation, control data must be kept current and complete. When developing sample designs, the most important information is (1) the presence or absence of a data item, (2) indication of the age of the data item, followed by (3) some measure of size. This control data determines the usefulness and efficiency of the list as a Sampling Frame. NASS conducts criteria surveys at least annually to maintain a current list sampling that is as complete as possible.

Every five years NASS conducts the Census of Agriculture. During that year the criteria or list building surveys are omitted, since the Census data will be used to update the NASS List Frame. The next Census of Agriculture will be conducted in 2013 referencing the calendar year of 2012.

- 7. Explain any special circumstances that would cause an information collection to be conducted in a manner inconsistent with the general information guidelines in 5 CFR 1320.5.**

There are no special circumstances associated with this information collection.

- 8. Provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8 (d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments.**

The Notice soliciting comments was published in the Federal Register on October 4, 2012 on page 60671 and two public comments were received, one from the Bureau of Economic Analysis (BEA) in support of this data collection and one from Ms. Jean Public. The comments are attached to this renewal.

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and record-keeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

In preparation for the 2012 Census of Agriculture NASS investigated all available lists of farm operators we could access, in order to make our list of potential farmers as complete as possible. Some of the organizations we received lists from include the USDA Economic Research Service (ERS), the Agricultural

Marketing Service (AMS), Environmental Protection Agency (EPA), several State Departments of Agriculture, and some growers associations. The lists were run through careful screening before any names were added to our List Frame to remove any duplication of records.

9. Explain any decision to provide any payment or gift to respondents.

There are no payments or gifts to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

All questionnaires include a statement that individual reports are kept confidential. U.S. Code Title 18, Section 1905, U.S. Code Title 7, Section 2276, and Subtitle A of the Confidential Information Protection and Statistical Efficiency Act of 2002 (CIPSEA), (Public Law 107-347) provide for the confidentiality of reported information. All employees of NASS and all enumerators hired and supervised under a cooperative agreement with the National Association of State Departments of Agriculture (NASDA) must read the regulations and sign a statement of compliance.

NASS and NASS contractors comply with OMB Implementation Guidance, (Implementation Guidance for Title V of the E-Government Act, CIPSEA). CIPSEA supports NASS' pledge of confidentiality to all respondents and facilitates the agency's efforts to reduce burden by supporting statistical activities of collaborative agencies through designation of NASS agents; subject to the limitations and penalties described in CIPSEA.

11. Provide additional justification for any questions of a sensitive nature.

There are no questions of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I. Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories.

The Field Office in each State along with the commodity statisticians in NASS HQ, determine what combination of questions to ask on the LSFC, based on the types of agriculture in each State. The questions asked on the NACS are determined by NASS HQ, since we only use one questionnaire version for the

entire US. Both questionnaires are generally short, asking the minimum amount of information. Total hours of burden are based on the calculations below.

The annual reporting time of 42,576 hours is multiplied by \$24 per hour for a total cost to the public of \$1,021,824.

The Bureau of Labor Statistics, for 2010, estimates that first line farm supervisors make \$21.97 per hour; bookkeepers make \$17.37 per hour and accountants make \$33.72 per hour. NASS is using the rounded, average value of \$24 per hour to calculate cost to public.

Projected 2013 - 2015 Annual Response Burden Hours for List Frame Surveys											
List Frame Surveys	Sample Size	Freq.	Response				Non-response				Total Burden Hours
			Count	Freq. x Count	Min/ Resp.	Burden Hours	Count	Freq. x Count	Min./ Non Resp	Burden Hours	
National and State Agricultural Classification Surveys (NACS) 2013 - 2015											
National Agricultural Classification Survey 2013	(Survey is not conducted in 2013 due to the Census of Agriculture being conducted.)										
First Mailing	0	1.00	0	0	15	0	0	0	2	0	0
State Agricultural Classification Survey 2014											
First Mailing	10,000	1.00	3,000	3,000	15	750	7,000	7,000	2	233	983
Phone Follow Up	7,000	1.00	4,200	4,200	15	1,050	2,800	2,800	2	93	1,143
National Agricultural Classification Survey 2015											
First Mailing	300,000	1.00	90,000	90,000	15	22,500	210,000	210,000	2	7,000	29,500
Second Mailing	210,000	1.00	63,000	63,000	15	15,750	147,000	147,000	2	4,900	20,650
Phone Follow Up	147,000	1.00	88,200	88,200	15	22,050	58,800	58,800	2	1,960	24,010
Specialty Criteria Survey and Out of Business Screener 2013 - 2015											
Specialty Criteria Survey 2013 *	(Survey is not conducted in 2013 due to the Census of Agriculture being conducted.)										
First Mailing	0	1.00	0	0	15	0	0	0	2	0	0
Specialty Criteria Survey 2014 *											
First Mailing	100,000	1.00	30,000	30,000	15	7,500	70,000	70,000	2	2,333	9,833
Second Mailing	70,000	1.00	21,000	21,000	15	5,250	49,000	49,000	2	1,633	6,883
Phone Follow Up	49,000	1.00	29,400	29,400	15	7,350	19,600	19,600	2	653	8,003
Specialty Criteria Survey 2015 *											
First Mailing	100,000	1.00	30,000	30,000	15	7,500	70,000	70,000	2	2,333	9,833
Second Mailing	70,000	1.00	21,000	21,000	15	5,250	49,000	49,000	2	1,633	6,883
Phone Follow Up	49,000	1.00	29,400	29,400	15	7,350	19,600	19,600	2	653	8,003
Out of Business Screener **											
Phone Only	12,000	1.00	12,000	12,000	10	2,000	0	0	2	0	2,000
Totals	522,000		421,200	421,200		104,300	702,800	702,800		23,427	127,727
Annual Averages	174,000		140,400	140,400		34,767	234,267	234,267		7,809	42,576

* The **specialty criteria** questionnaires are designed to collect more detailed data than what is displayed on the NACS questionnaires. Respondents who reported crops such as fruits, vegetables or horticultural crops will be sent a follow up survey to collect more detailed information. In order to keep respondent burden to a minimum this follow up procedure is designed to only ask the pertinent questions for each individual State. The master questionnaire is attached in the ROCIS system showing the full

- 13. Provide estimates of the total annual cost burden to respondents or record keepers resulting from the collection of information, (do not include the cost of any hour burden shown in items 12 and 14). The cost estimates should be split into two components: (a) a total capital and start-up cost component annualized over its expected useful life; and (b) a total operation and maintenance and purchase of services component.**

There are no capital/start-up or ongoing operation/maintenance costs associated with this information collection.

- 14. Provide estimates of annualized cost to the Federal government; provide a description of the method used to estimate cost which should include quantification of hours, operational expenses, and any other expense that would not have been incurred without this collection of information.**

The total annual cost to the Federal government for the data collection and summarization associated with the List Sampling Frame is \$7.0 million. This is a reduction of \$500,000 dollars from the previous approval. NASS has been able to achieve most of this through implementing a centralized Frames Maintenance Group at our National Operations Center in St. Louis, MO. NASS is also looking into ways of increasing the usage of web based data collection instruments to reduce respondent burden and data collection costs.

In 2013 and somewhat in 2014 NASS expenses for list building and list maintenance will shift away from data collection costs and move more towards data review, duplication checking and updating of the list data. In 2013 NASS will be conducting the Census of Agriculture. There will not be any extra list building activities scheduled, instead all activities will center on the name and address information collected with the census and the updating of the List Frame from the census data. In 2015, NASS will return to their normal data collection and maintenance of the List Frame.

- 15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I (reasons for changes in burden).**

The estimated annual respondent burden of 42,576 hours and 174,000 respondents is a significant reduction to the previous approval. This is due to the Census of Agriculture being conducted in the first year of this three year approval period. With the massive list building efforts that NASS has conducted during 2011 and 2012 in preparation for the census, there will be no list building scheduled during the census data collection period. Following the completion of the census, data that was collected during 2013 will be posted to the NASS List Frame and only minimal list building efforts will be conducted in 2014. In 2014 the list building is basically a follow-up to the Census of Agriculture. Operators who identified themselves as fruit or vegetable farmers but did not provide any

detail, will be contacted to see if we can get additional information on the type of crop produced (apples, peaches, pears, etc.). Operators who reported poultry, but did not specify if they were broiler or layer operations or if they had turkeys will be contacted to add clarity to the data captured to our List Frame. The State Classification Survey will be used to collect this data. In 2015 NASS will return to near normal levels of list building efforts.

- 16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

Previously, criteria surveys were conducted throughout the year as States discovered potential new farms that could be added to their List Frames using outside sources. Now the shorter standard NACS is the primary survey and is conducted once or twice a year and States are encouraged to limit the use of the LSFC and the CHS to only farmers who have indicated the production of specialty crops (fruits, nuts, vegetables, floriculture, nursery, etc.). The NACS, LSFC, and CHS utilize NASS mail centers, and NASS phone centers. There is neither a summarization nor a publication resulting from List Sampling Frame Surveys. Data obtained on the criteria questionnaires are used by each Field Office to remove duplication and add control data for List Frame sample units. This results in a more efficient Sampling Frame.

- 17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

There is no request for approval of non-display of the expiration date.

- 18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions" of OMB Form 83-I.**

There are no exceptions to the certification statement.

December, 2012

Revised May, 2013